

Scoring the Team

An effective, efficient personnel system is essential for successful government. If the State cannot get the right people with the right skills in the right place, then public programs will not meet public needs. To improve performance, the State must monitor how well it attracts, hires and retains a qualified workforce. Performance information can guide management decisions, reveal the need for reform and allow senior officials to monitor improvement.

The federal government and a number of states, along with the private sector, have adopted measures to evaluate the performance of human resource systems. Drawing from national standards, the Commission has identified performance measures in five domains that could be used by the State. As an initial benchmark, the Commission offers its assessment of the State's standing on the measures. While some departments independently meet these standards, the Commission's assessment is based on enterprise-wide status. Ideally the State could use these measures to evaluate the progress of individual departments.

The measures shown here are grouped by domain, but each element of a personnel system is interrelated and interdependent. Failure to comprehensively assess all components will result in an inadequate evaluation. For example, high retention rates alone do not indicate a successful personnel system. Poor performance management coupled with high retention could mean that an agency is retaining mediocre or poor performers. Likewise, successful recruitment by itself does not indicate success. If the agency also has high turnover, improvements may be needed to align personnel capabilities with organizational goals.

For each measure the State is evaluated as meeting expectations (**M.E.**), making progress toward expectations (**P.T.E.**) or below expectations (**B.E.**). And where available, the Commission has included a reference to a state department that is meeting expectations or headed in that direction.

California's Scorecard

Workforce Planning – To best meet public needs, state leaders must know who they currently employ and deploy that workforce strategically.		Below Expectations	Progress Toward Expectations	Meets Expectations
Know the workforce Workforce data is collected and analyzed. Data includes: <ul style="list-style-type: none"> • employee age • tenure • job satisfaction • attrition rates and patterns • projected retirement rates • retirement eligibility by position • distribution of employee skills and competencies M.E.: Data are complete and current. Data analysis informs immediate and long-term workforce planning. P.T.E.: Workforce data are incomplete and not always timely. B.E.: Workforce data are incomplete or out-of-date.		✓		
		Rationale: California does not have an effective, reliable mechanism for collecting workforce data. Meeting expectations: CalTrans Workforce data are monitored monthly. Quarterly reports are distributed to division chiefs for workforce planning.		
Link the workforce plan to organizational goals Workforce plans should be based on current data, identify goals and specify objectives required to achieve goals. Workforce data are integrated into the organization's decision-making process. M.E.: Workforce plan is complete. P.T.E.: Workforce plan is under development. B.E.: Workforce plan has not been started.		✓		
		Rationale: The State does not have a centralized workforce plan. Making progress: CalTrans Workforce plans are being aligned with management competencies and strategic objectives.		

Personnel System – Based on a workforce plan, departments must be able to recruit and hire skilled workers needed to meet public needs.	Below Expectations	Progress Toward Expectations	Meets Expectations
<p>Recruit effectively Recruitment strategy produces a large pool of qualified and diverse applicants for each open position.</p> <p>M.E.: Recruitment produces a quality applicant pool. Job descriptions and applications are accessible, specific and clear. Candidates understand application process.</p> <p>P.T.E.: Some recruitment efforts take place, but do not produce a qualified applicant pool. Applications are accessible to potential applicants, but job descriptions are vague and confusing. The hiring process is unnecessarily complicated.</p> <p>B.E.: Recruitment efforts are essentially nonexistent. The hiring process is confusing, job descriptions are vague, and applications are not readily available to potential applicants.</p>	✓		
<p>Select strategically Selection process ensures that candidates are accurately assessed, the applicant pool is efficiently winnowed and the most qualified candidates are hired.</p> <p>M.E.: Positions are filled with the best people for the job. The interview and hiring processes are unambiguous and timely. Communication with candidates takes place throughout the selection process. Hiring flexibilities are employed and compensation packages are competitive.</p> <p>P.T.E.: Positions are filled with minimally qualified candidates. Some communication with candidates takes place throughout process. Hiring and compensation flexibilities are not fully leveraged.</p> <p>B.E.: Positions are unfilled, or filled with unqualified candidates. Selection process is unnecessarily complex and lengthy. No communication occurs with candidates throughout process. Hiring and compensation flexibilities do not exist or are not used.</p>	✓		
<p>Evaluate results Hiring officials routinely conduct post-hire interviews with successful and unsuccessful candidates. Performance assessments of new hires are conducted and data are used to evaluate the performance of recruitment, selection and hiring functions.</p> <p>M.E.: Recruitment, selection and hiring processes are continually evaluated. Changes are made to ensure goals are met.</p> <p>P.T.E.: Some evaluation of recruitment, selection and hiring processes occurs, but is not strategic. Improvements do not take place.</p> <p>B.E.: Recruitment, selection and hiring processes are not evaluated.</p>	✓		

Rationale: The State fails to recruit; hiring pools for management positions average just 13 candidates; and, the hiring process is nearly impenetrable.

Meets expectations: Bureau of State Audits.

The bureau actively participates in career fairs and visits college campuses to recruit potential job candidates. In 2004-05, recruitment efforts helped attract 624 applicants for 24 positions.

Rationale: The State fails to select strategically. The examination process is unreliable and the best candidates can go untapped.

Meets expectations: Bureau of State Audits.

Using a tiered selection process, and frequent communication with job candidates, the bureau efficiently reviews candidate qualifications to select the best applicants.

Rationale: Some departments may assess hiring procedures better than others, but the State does not set enterprise-wide hiring standards, or routinely evaluate progress. In 2003, the State Personnel Board reviewed hiring procedures for the first time and found numerous deficiencies. But the State has not systematically implemented reforms to address those deficiencies.

Retention – To retain excellence, state leaders must track who is leaving the workforce and why, and make changes if appropriate.	Below Expectations	Progress Toward Expectations	Meets Expectations
<p>Track retention Employee satisfaction and turnover are monitored. Data are used to make workplace and management improvements.</p> <p>M.E.: Regular employee surveys and exit interviews are conducted and data are used to improve employee satisfaction and retention. Human resource management flexibilities are used effectively.</p> <p>P.T.E.: Data are not uniformly collected, or are not used to make improvements. Human resource management flexibilities are not fully utilized.</p> <p>B.E.: Employee satisfaction and turnover are not tracked. Human resource management flexibilities are nonexistent or are not used.</p>	✓		
<p>Assess compensation The components that make compensation competitive are understood. The adequacy of employee compensation is continually assessed.</p> <p>M.E.: Compensation packages are assessed and adjusted to achieve or maintain market competitiveness.</p> <p>P.T.E.: Compensation packages are regularly assessed but adequate adjustments are not made.</p> <p>B.E.: Compensation packages are not regularly assessed for market competitiveness.</p>	✓		<p>Rationale: Some departments track employee satisfaction and conduct exit interviews, but the State does not have an enterprise-wide procedure for monitoring turnover. And even though the State Personnel Board is authorized to spearhead strategies to improve retention, that authority is not widely used.</p> <p>Rationale: The State does not regularly assess the competitiveness of compensation or employee needs.</p> <p>Meeting Expectations: CalPERS The executive compensation program at CalPERS includes base salary ranges based on marketplace salary surveys that are conducted every two years, along with other considerations.</p>
<p>Ensure health and safety A safe work environment is guaranteed.</p> <p>M.E.: Potential hazards have been identified and corrected. Loss data is analyzed. Safety training is provided. Safety programs are up-to-date.</p> <p>P.T.E.: Workplace hazards are reacted to as they occur. Workforce receives minimal safety training. Safety programs are out-of-date.</p> <p>B.E.: Workplace hazards are ignored. Workers receive no safety training. Safety programs are not in place.</p>			<p>Rationale: The Commission has insufficient information to assess performance.</p> <p>Meeting Expectations: CalTrans The department actively documents hazards, provides job-specific safety training to each employee and issues biannual reports on safety.</p>

Training and Development – To ensure that the State will have a workforce capable of meeting future needs, state leaders must strategically equip employees with essential skills.	Below Expectations	Progress Toward Expectations	Meets Expectations
Formulate a training strategy Data from assessment of current and future workforce needs are used to strategically align current and future needs with training investments. M.E.: Training investments are strategic and meet current and future needs. P.T.E.: Some strategic training takes place, but is not adequate to meet current and future needs. B.E.: Training resources are not allocated strategically.	✓		
Invest in development Training the workforce is a priority. Employees have the skills to meet organizational goals, are prepared to take on new responsibilities, and are capable of promoting into future vacancies. M.E.: All employees have received appropriate training and have the necessary skills to do the job. Workforce capacities are aligned with current and future needs. P.T.E.: Some employees have received appropriate training and have the necessary skills to do the job. Workforce capacities are not sufficient to meet current and future needs. Changes are made to improve programs accordingly. B.E.: Employees have not been trained and do not have the necessary skills to do the job. Workforce capacities are deficient in meeting current and future needs.	✓		
Rate quality of training Training programs are evaluated to determine whether they result in improved performance. Programs are improved accordingly. M.E.: Programs are evaluated by surveying managers. Managers rate the utility of training and development programs as improving employee performance. P.T.E.: Programs are evaluated by surveying managers. Managers rate the utility of training and development programs as somewhat improving performance. Changes are made to improve programs accordingly. B.E.: Programs are not evaluated, or are evaluated inadequately.	✓		

Rationale: The State does not have a strategic training initiative.

Meeting Expectations: Department of Social Services

The department has crafted a detailed professional management development program to enhance the leadership and management skills of employees. The program has been suspended due to budget cuts.

Rationale: Workforce training is not a priority. Some departments do fund training programs, but in lean budget years, these programs are the first to go. Enterprise-wide, the State under invests in training.

Meeting Expectations. Department of Financial Institutions.

The department invests in a nationally recognized leadership training model, offers scholarships to support employee self-development and establishes training support teams for each employee.

Rationale: The State does not routinely evaluate the utility of its training investments.

Making Progress. Department of Financial Institutions.

Training participants actively evaluate training programs. The department is currently assessing its training evaluation strategy and proposing reforms.

Performance Management – Maximizing workforce productivity requires that state leaders motivate employees, differentiate based on performance, and manage with integrity.		Below Expectations	Progress Toward Expectations	Meets Expectations
Inspire excellence Employees are motivated to make improvements, learn new skills and transfer to positions of higher responsibility. Management procedures are aligned with best practices to create an environment conducive to innovation and change. M.E.: Employees are motivated to learn and apply new skills in current and potential future positions. Management procedures are assessed regularly and improvements are made, if needed. P.T.E.: Employees are motivated to learn new skills but do not apply them to job responsibilities. Few employees are willing to promote. Regular assessment occurs, but improvements are not made. B.E.: Employees are not motivated to learn new skills. Promotion opportunities are not available or employees are not willing to promote. Assessment of management policies is irregular or nonexistent.		✓		
		Rationale: The State does not employ performance management strategies. Meeting Expectations: Department of Parks and Recreation Through an employee development program, the department invests in training and professional development to meet organizational goals and support individual employees. In 1997, the department received an award from the California Council for Excellence for its accomplishments.		
Differentiate between performance levels Employee performance is evaluated. Excellence is rewarded, and mediocre or poor performance carries consequences. M.E.: Employee performance evaluations are conducted and recognition programs are used effectively. P.T.E.: Some employee performance evaluations have been conducted. Recognition programs are sometimes used. B.E.: Employee performance evaluations have not been conducted. Recognition programs are not used.		✓		
		Rationale: Compensation and other rewards fail to distinguish based on performance. Recognition programs go unused. Meeting Expectations: Department of Parks and Recreation Employees are evaluated for their performance and their contributions to departmental goals.		
Manage with integrity Management policies and practices are scrutinized to ensure that they are applied fairly and consistently. Discrimination is prohibited and equal employment opportunity (EEO) and inclusion are championed. EEO compliance statistics are utilized to address deficiencies. M.E.: Workforce is diverse. Policies are consistently applied and there are no EEO issues. Agency positions are upheld in employee grievances and EEO cases. P.T.E.: Actions are being implemented to address inconsistent application of policy and EEO issues. Employee allegations are fully or partially upheld in employee grievances and EEO cases. B.E.: Actions are not taken to address inconsistent application of policy or EEO issues. Employee allegations are upheld in employee grievances and EEO cases.			✓	
		Rationale: The State has a diverse workforce and active EEO officials. But EEO compliance statistics are not widely publicized or used to demonstrate quality.		
The performance measures shown here are a compilation of measures developed by the following sources: Virginia’s Governor’s Management Standards Scorecard, HumRRO, Electronic Recruiting Exchange, Staffing.org, International Public Management Association for Human Resources, Partnership for Public Service, OnPerformance, Federal Office of Personnel Management.				

